

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)
SRX 110

Applicant, Patentee, or Identifier: Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones

Application or Patent No.: 09/526,582

Filed or Issued: March 16, 2000

Title: METHOD AND DEVICE FOR DETECTION OF APO A, APO B
AND THE RATIO THEREOF IN SALIVA

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Serex, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 230 West Passaic Street
Maywood, New Jersey 07607

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below. Nymox Pharmaceutical Corporation
9900 boul. Cavendish, Suite 306, Saint-Laurent, Quebec H4M 2V2 CANADA

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Judith Fitzpatrick

TITLE OF PERSON IF OTHER THAN OWNER Chief Executive Officer

ADDRESS OF PERSON SIGNING 236 Highwood Avenue, Tenafly, NJ 07670

SIGNATURE  DATE April 14, 2000



4

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STATEMENT CLAIMING SMALL ENTITY STATUS
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Applicant, Patentee, or Identifier: Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones

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☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Nynox Pharmaceutical Corporation

ADDRESS OF SMALL BUSINESS CONCERN 9900 boul. Cavendish, Suite 306
Saint-Laurent, Quebec H4M 2V2 CANADA

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20418.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below.

Serex, Inc., 230 West Passaic Street, Maywood, New Jersey 07607

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.26(b))

NAME OF PERSON SIGNING JACK GEMMELL

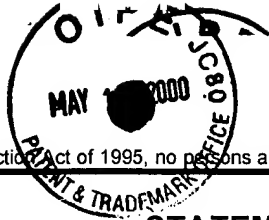
TITLE OF PERSON IF OTHER THAN OWNER General Counsel

ADDRESS OF PERSON SIGNING 9900 boul. Cavendish, Suite 306, St.-Laurent, Qc

SIGNATURE J. Gemmell DATE May 16, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents

SRX 110
9286/23



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones

Application No./Patent No.: 09/526,582 Filed/Issue Date: March 16, 2000

Entitled: METHOD AND DEVICE FOR DETECTION OF APO A, APO B AND THE RATIO THEREOF IN SALIVA

Serex, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

April 14, 2000

Date


Signature

Judith Fitzpatrick
Typed or printed name

Chief Executive Officer
Title

ASSIGNMENT

We, Judith Fitzpatrick of 236 Highwood Avenue, Tenafly, New Jersey 07670, Regina B. Lenda of 27 Tammy Road, Wesley Hills, New York 10977, and Christopher L. Jones of P.O. Box 303, Riverdale, New Jersey 07457-0303, in consideration of ten dollars and other valuable consideration paid to us by Serex, Inc., a corporation of the State of New Jersey, having its principal place of business at 230 West Passaic Street, Maywood, New Jersey 07607, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Serex, Inc., its successors and assigns, the entire interest for the United States of America, and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property, in a certain invention or improvement in "*Method and Device for Detection of APO A, APO B and the Ratio Thereof in Saliva*" described in U.S. Serial No. 09/526,582 filed in the United States Patent and Trademark Office on March 16, 2000, by Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones, which claims priority to U.S. Provisional Application Serial No. 60/124,562 filed in the United States Patent and Trademark Office on March 16, 1999, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any provisional, divisional, continuation, continuation-in-part, reissue, or other applications based in whole or in part thereon. And we agree, for ourselves and our executors and administrators, with said corporation and its successors and assigns, but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation, and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

Title: "Method and Device for Detection of APO A,
APO B and the Ratio Thereof in Saliva"

By: Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones

Filed: March 16, 2000

ASSIGNMENT

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 14th day of April, 2000.




Judith Fitzpatrick

State of New Jersey)

County of Bergen)

Then personally appeared the above named Judith Fitzpatrick and acknowledged the foregoing instrument to be her free act and deed, before me this 14th day of April, 2000.

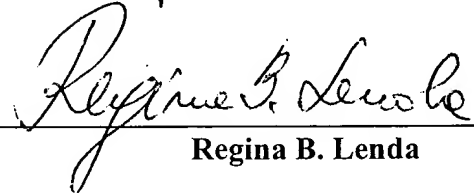


Notary Public

My Commission expires: 02-05-2005

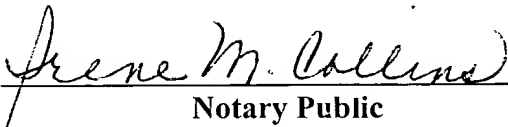
Title: "Method and Device for Detection of APO A,
APO B and the Ratio Thereof in Saliva"
By: Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones
Filed: March 16, 2000
ASSIGNMENT

WITNESS my hand and seal this 10th day of April, 2000.


Regina B. Lenda

State of New ^{Jersey} ~~York~~)
County of MORRIS)

Then personally appeared the above named Regina B. Lenda and acknowledged the foregoing instrument to be her free act and deed, before me this 10th day of APRIL, 2000.


Notary Public

My Commission expires: JULY 9, 2003

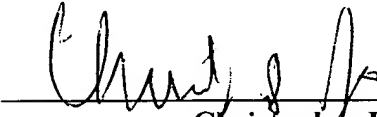
IRENE M. COLLINS
NOTARY PUBLIC OF NEW JERSEY
My Commission Expires July 9, 2003



Title: "Method and Device for Detection of APO A,
APO B and the Ratio Thereof in Saliva"

By: Judith Fitzpatrick, Regina B. Lenda, and Christopher L. Jones
Filed: March 16, 2000
ASSIGNMENT

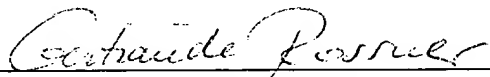
WITNESS my hand and seal this 11 day of April, 2000.



Christopher L. Jones

Massachusetts
State of ~~New Jersey~~)
County of Middlesex)

Then personally appeared the above named Christopher L. Jones and
acknowledged the foregoing instrument to be his free act and deed, before me this
11th day of April, 2000.



Notary Public

My Commission expires: _____

